

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: : Confirmation No.: 2283  
:   
**Cosatto et al.** : Attorney Ref.: 2000-0042-CON  
:   
Serial No.: 10/662,550 : Art Unit: 2628  
:   
Filed: September 15, 2003 : Examiner: Daniel F. Hajnik  
:   
FOR: AUDIO-VISUAL SELECTION PROCESS FOR THE SYNTHESIS OF PHOTO-  
REALISTIC TALKING-HEAD ANIMATIONS

## AFFIDAVIT UNDER 37 CFR 1.131

Honorable Commissioner of Patents & Trademarks

Alexandria, VA 22314

Dear Sir:

I, Wendy Koba, being duly sworn, depose and state:

1. I prepared, drafted, and filed patent application 2000-0042, now issued as U.S. patent 6,654,018, filed 29 March 2001. Application 2000-0042 is the parent of the above-identified patent application.
2. Exhibit #1 is a handwritten listing of projects I billed out between 12 June 2000 and 29 March 2001.
3. Exhibit #2 is a set of email correspondence between AT&T, Eric Cosatto, and me between April 2000 and March 2001.

4. On 5 April 2000, I received a letter from Ann E. Taylor of the AT&T Intellectual Property group with instructions to prepare and file the application 2000-0042 within 6 months, or roughly by October 5, 2000. See Exhibit #2, page 2.
5. On 11 April 2000, I sent a letter to inventor Eric Cosatto acknowledging that the patent submission had been assigned to me. See Exhibit #2, page 3.
6. On 17 July 2000, I sent a letter to Eric Cosatto acknowledging a publication date of Eric Cosatto's paper on August 1, 2000. See Exhibit #2, page 4.
7. On 24 August 2000, Eric Cosatto wrote me an email requesting the status of the application. See Exhibit #2, page 4.
8. On 2 October 2000, I wrote an email to Eric Cosatto explaining that two "emergency" cases had taken priority over Eric Cosatto's application. See Exhibit #2, page 5.
9. On 8 November 2000, Eric Cosatto wrote me an email requesting a status update of the application; see Exhibit #2, page 5.
10. In mid-November 2000, my son was diagnosed with Type I diabetes. I spent several weeks attending to this matter.
11. In December 2000, AT&T "paced" filings in Dec. to hit a specific number.
12. On 2 March 2001, I wrote an email to Eric Cosatto with the application draft. See Exhibit #2, page 6.
13. Later on 2 March 2001, Eric Cosatto wrote me a letter with a revised version of the application draft. See Exhibit #2, page 7.

14. On 14 March 2001, I sent Eric Cosatto an email including the application, drawings, and signature papers for filing the patent application. See Exhibit #2, page 8.
15. On 19 March 2001, Eric Cosatto wrote a letter to the other inventors with the final draft of the application. See Exhibit #2, page 9.
16. On 26 March 2001, inventor Gerasimos Potamianos wrote an email to Eric Cosatto indicating that assignment papers were sent. See Exhibit #2, page 10.
17. On 29 March 2001, I wrote an email to Ann E. Taylor indicating that application was filed. See Exhibit #2, page 11. The application was filed 29 March 2001 and assigned Appl. No. 09/820,396.

All the statements made herein are true and are made on information believed to be true; and further these statements are made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Wendy W. Koba  
Wendy Koba Reg. No. 30509  
15 May 2009  
Date

Application/Control Number: 10/662,550  
Art Unit: 2628

Docket No.: 2000-0042-CON

**EXHIBIT #1**

Art Unit: 2628

P.O. # - Lucent W8011858

TAX I.D. # 23-2286031

1401	4/2 Estamholz 45-23 (ATT-0105) <sup>Issue fee paid</sup>	1424.95	7/10 ✓
1402	6/13 Gaschler 2-5-2 (ATT-0136) Jap. off. let.	355.25	7/11 ✓
1403	6/14 Broutin 27-65 (LUC-0212) IDS bill	200.00	7/20 ✓
1404	6/14 Dantawan 39 (LUC-0112) <sup>US</sup> Amend	1017.95	7/20 ✓
1405	6/17 Chakrabarti 12-2 (LUC-0116) Appeal Brief	2819.95	7/31 ✓
1406	6/18 Bowler 6 (ATT-0117) Can. Amend	500.34	7/20 ✓
1407	6/18 Farber 1-2-2-1 (ATT-0198) Mex. Amend	920.90	7/20 ✓
1408	6/28 Bung 0801 (ATT-0177) US filing (managed)	6033.45	8/14 ✓
1409	7/23 Chakrabarti 24 (LUC 0213) IDS	200.00	8/3 ✓
1410	7/28 Chakrabarti 25 (LUC 0214) IDS	200.00	8/3 ✓
1411	6/28 French 5-4-9 (LUC-0121) US Amend	719.20	8/3 ✓
1412	7/30 Christodoulides 1-29-1-1 (LUC-0219) US filing	5532.75	8/14 ✓
1413	7/30 Conlie 0814 (ATT-0182) US filing	6763.45	8/14 ✓
1414	7/5 Kempsey 2 (LUC-0136) US Amend	1214.95	9/7 ✓
1415	7/5 Conlie 0314-1 (ATT-0183) US filing	6755.45	8/14 ✓
1416	7/11 Estamholz 113522 (ATT-0123) US Amend	1019.00	8/5 ✓
1417	7/14 Korn 1999-0433 (ATT-0193) US filing	6019.15	8/14 ✓
1418	7/18 Mox-0100 (Tandon-EK 1) US pro. filing	498.50	7/14 ✓
1419	7/18 Mox-0101 (Tandon-EK 2) US pro. filing	486.75	7/24 ✓
1420	7/18 Bergmann 38 (LUC-0164) US Amend	513.75	8/14 ✓
1421	7/10 Civanlar 112392 (ATT- ) US Amend	818.00	9/20 ✓
1422	7/24 Rodice (GI-0100) US Amend	412.95	8/31 ✓
1423	7/24 Caldwell 3-12 (ATT-0149) US Amend	916.75	9/20 ✓
1424	7/25 Gaschler 2 (ATT-0136) Jap. Amend	608.45	9/20 ✓
1425	7/25 Broutin 22-65 (LUC-0215) IDS	200.00	3/28 ✓
1426	7/27 Garren 2-EUR (ATT-0105) Eur. off action	401.40	9/5 ✓
1427	7/31 Laporta 3-3 India (ATT-0158) <sup>India</sup> off action	601.40	9/5 ✓
1428	8/1 D'Amato 1-... (ATT-0139) EPC OA	1007.25	9/5 ✓
1429	8/2 Day 1 (LUC-0186) US amendment	617.45	9/13 ✓
1430	8/2 Anderson 1 (LUC-0220) US filing <sup>from prev.</sup>	2032.75	11/6 ✓

Lucent P.O.# W8011858

Tax I.D.# 23-2986631

7/10 ✓	1432 Civanlar 113551 (ATT-0141) IDS bill	300 00	9/8 ✓
7/11 ✓	1433 8/7 Joyce 7 (LUC-0116) US Amend. final	814 95	9/13 ✓
7/20 ✓	1434 8/7 Bruno 9 (ATT-0185) EPC Amend	807 90	9/11 ✓
7/20 ✓	1435 8/7 Gutierrez 1 (ATT-0201) EPC Amend	706 75	9/13 ✓
7/31 ✓	1436 8/17 Radice D995 (GI-0100) Notice of Appeal	311 75	8/31
7/20 ✓	1437 8/9 Delavaux 24 (LUC-0124) Amend. (US)	714 95	9/13 ✓
7/20 ✓	1438 8/9 Lee 33-15 (LUC-0189) Eur. Amend	601 40	9/13 ✓
8/14 ✓	1439 8/10 Furman 2 EPC (ATT-0202) Eur. Amend	404 60	9/13 ✓
8/13 ✓	1440 8/31 Christodoulides 2-30-2-2 (LUC-0221) <sup>US</sup> Filing	603 275	11/11 ✓
8/13 ✓	1441 8/22 LaPorta 4-4 India (ATT-0159) <sup>India</sup> Amendment	603 50	9/20 ✓
8/13 ✓	1442 8/22 Caldwell 3-13 (ATT-0149) Notice of Appeal	514 95	9/20 ✓
8/14 ✓	1443 8/23 Merchant 32-48 (LUC-0157) US amendment	1418 00	10/4 ✓
8/14 ✓	1444 8/23 Delavaux 27-3 (LUC-0219) IDS Bill	2000 00	10/4 ✓
8/17 ✓	1445 8/28 D'Amato 1-1 (ATT-0139) EPC OA	307 25	9/28 ✓
8/14 ✓	1446 8/28 Sosian-Alvarado (LUC-0159) Korean OA	202 95	10/4 ✓
8/15 ✓	1447 8/28 Wilson 7 (LUC-0222) US Filing	6028 40	11/11 ✓
8/14 ✓	1448 9/30 Amer-Yahia 1999-0613 (ATT-0203) Prov.	1173 45	10/4 ✓
7/24 ✓	1449 8/31 Lopata 9-22 (LUC-0223) US Filing	6031 90	10/23 ✓
7/24 ✓	1450 8/31 Lopata 10-23 (LUC-0224) US Filing	6033 20	10/23 ✓
8/14 ✓	1451 9/5 D-2253 (formal drawings)	51 000	10/12 ✓
9/20 ✓	1452 9/5 Civanlar 113551 (ATT-0141) <sup>formal</sup> drawings	164 00	10/4 ✓
9/31 ✓	1453 9/16 LaPorta 4-4 India (ATT-0159) <sup>India</sup> Amend	203 50	10/4 ✓
9/20 ✓	1454 4/13 Eslambolchi 49-27-3 (ATT-0113) <sup>Issue</sup> Fee	1424 95	10/16 ✓
9/20 ✓	1455 9/14 Eslambolchi 1999-0485 (ATT-0154) US Amend.	817 95	10/16 ✓
8/28 ✓	1456 9/14 Stern 1999-0272 (ATT-0162) US Filing <sup>from prov.</sup>	5753 00	10/16 ✓
9/5 ✓	1457 9/14 D2340 (GI-0116) US filing (from prov.)	4949 05	10/12 ✓
9/5 ✓	1458 9/19 Gray 2-3-2-7 (LUC-0173) US Amend	817 55	11/6 ✓
9/5 ✓	1459 9/20 LaPorta 3-3 (ATT-0158) India amend	628 80	10/21 ✓
9/13 ✓	1460 9/20 Con Kie <sup>1999</sup> 0394 (ATT-0182) IDS bill	2000 00	10/21 ✓
11/6 ✓	1461 9/20 Christodoulides <sup>1-24-11</sup> (LUC-0219) IDS bill	5000 00	11/6 ✓

\*effective 10/1/00

Lucent P.O. # W8011858 - use W8034014

32 ID # 23-2986631

1463 q/a Turman 2 (ATT-0202) EPC Amend	50865	10/21 ✓	1
1464 q/a Ma 18-27-43 (LUC-0225) Korean Amend	40500	11/6 ✓	1
1465 q/a Chakrabarti 10-4 (LUC-0155) US Amend	51595	11/6 ✓	1
1466 q/as Estambelchi 42-25 (ATT-0112) US Amend	101645	11/26 ✓	1
1467 q/a Ma 19-28-2-44 (LUC-0226) Korean Amend	51590	11/6 ✓	14
1468 q/a D2338 (G1-0117) US Filing - from prov.	420555	10/25 ✓	14
1469 q/as Steve Kovak (F01-9) US Filing	100000	11/26 ✓	1
1470 q/a Ransijn 2 (LUC-0227) US Filing	603670	11/20 ✓	10
1471 q/a L495 (G1-0100) Appeal brief	152175	11/2 ✓	15
1472 10/5 Korn 1999-0433 IDS bill ATT-0193	40000	11/6 ✓	15
1473 10/6 Estambelchi 113520 US Amendment	51635	11/9 ✓	15
1459A 10/6 LaPorta 3-3 India (adj. <sup>Indice</sup> #1454)	7500	11/13 ✓	15
1474 10/6 Chakrabarti 4-2 (LUC-0120) US Amendment	51710	11/19 ✓	15
1475 10/6 AKinpelu 1-1 (ATT-0107) EPC amendment	50430	11/6 ✓	15
1476 10/8 D2234 (G1-0114) Not to file missing parts	29555	11/5 ✓	
1477 10/8 Dautartas 39 (LUC-0119) US Amend	41635	11/28	10
1478 10/19 Bindell 7-1-1-3-3 (LUC-0215) Korean <sup>for</sup> <del>amend</del>	30140	11/28	10
1479 10/19 Delavaux 20-2 (LUC-0227) <sup>for</sup> <del>amend</del> <sup>for</sup> <del>amend</del>	14180	11/28	10
1480 10/9 Strasser 24-24 (LUC-0190) <sup>for</sup> <del>amend</del> <sup>for</sup> <del>amend</del>	1060	11/27	10
1481 10/19 Caldwell 3-13 (ATT-0149) Appeal brief	173285	11/16 ✓	10
1482 10/20 O'Neil <sup>2000-5189</sup> ATT-0189 US Filing	603170	11/20 ✓	10
1483 11/1 Lee 12-21 (LUC-0151) Korean amend.	60460	11/28 ✓	10
1484 11/6 Mux-0102 Filing prov application	49850	11/6 ✓	10
1485 11/6 Day 1 (LUC-0186) After-final amend.	31655	11/20 ✓	10
1486 11/7 Mc Carthy (ATT-0155) US Filing <sup>ATT</sup> <del>amend</del>	503020	12/11 ✓	10
1487 11/3 Sawyer 7 EPC (ATT-0125) EPC Amend.	60460	11/11 ✓	10
1488 11/6 Wilson 7 (LUC-0222) IDS bill	40000	2/1 ✓	10
1489 11/1 Lopata 9-22 (LUC-0223) IDS bill	30000	2/1 ✓	10
1490 11/1 Lopata 10-23 (LUC-0224) IDS bill	30000	2/1 ✓	10
1491 11/3 Harkey 0-00 (Filing prov. application)	69850		10
1492 11/2 Lee 6-1-34 Japan Amendment (LUC-0172)	80580	2/1 ✓	10

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14

Lucent P.O. # W8034014

Tax ID # 23-2986631

10/21 ✓	1493 12/5 Cox 1999-0767 (ATT-0177) US filing	673815	1/5 ✓
11/6 ✓	1494 12/5 Cox 1999-0767-1 (ATT-0178) US filing	674015	1/5 ✓
11/6 ✓	1495 12/6 Polak (POL-01) US filing (2nd bill)	100000	12/28 ✓
11/26 ✓	1496 12/6 LaPorta 3-3 China (ATT-0158) Chinese Amend.	100460	2/61 ✓
11/6 ✓	1497 12/7 Strasser 34-24 EPO (LUC-0190) Amend	26060	2/9 ✓
10/25 ✓	1498 12/7 Stern 1999-0272 (ATT-0162) IDS bill	40000	2/61 ✓
10/20 ✓	1499 12/7 D2340 IDS bill (G1-0116)	40000	10/28 ✓
11/20 ✓	1500 12/11 D2487 (G1-0118) US filing	591155	10/28 ✓
11/2 ✓	1501 12/14 Burd 2-2-1-2-1-2 China (ATT-0210) (AT+T) (mngd)	60515	1/22 ✓
11/6 ✓	1502 12/19 Bergmann 38 (LUC-0164) Amend.	61695	2/10 ✓
11/9 ✓	1503 12/19 Ott-0100 filing provisional	13500	12/28 ✓
11/13 ✓	1504 12/20 D2338 (G1-0117) IDS bill	30000	2/14 ✓
11/18 ✓	1505 12/20 Ransijn 8 (LUC-0227) IDS bill	20000	2/21 ✓
11/6 ✓	1506 12/21 Anselm 3-94-11 (LUC-0133) amendment	151795	2/6 ✓
11/8 ✓	2000		
11/28 ✓	1600 1/3 Bergmann 60 (LUC-0163) US amend	71735	2/24 ✓
11/28 ✓	1601 1/3 Bergmann 59-18-8 (LUC-0156) US amend	14575	2/24 ✓
11/28 ✓	1602 1/4 Dautartas 76-74 (LUC-0223) US filing	603200	2/24 ✓
11/28 ✓	1603 1/8 Bond 3-58-63 (LUC-0184) US amend.	51755	2/24 ✓
11/14 ✓	1604 1/8 Estambolchi 113522 (ATT-0123) US amend	41830	2/2 ✓
11/20 ✓	1605 1/9 Shastri 3-8 (LUC-0118) Japan amend.	40530	3/17 ✓
11/28 ✓	1606 1/10 Gupta 2000-0163 (ATT-0192) US filing	677630	2/9 ✓
11/16 ✓	1607 1/10 Gupta 1999-0282 (ATT-0175) US filing	677380	2/9 ✓
11/25 ✓	1608 1/11 Bangalore 2000-0534 (ATT-0202) US filing	673725	2/9 ✓
12/11 ✓	1609 1/16 Curto 1999-0173 (ATT-0176) US filing	602450	2/16 ✓
12/11 ✓	1610 1/16 Mizuhara 8-7 (LUC-0201) for. dwg. filing	20540	2/17 ✓
2/7 ✓	1611 1/16 Gill 2-7 (LUC-0229) US filing	603870	2/17 ✓
2/7 ✓	1612 1/17 O'Neil 2000-0189 (ATT-0139) IDS bill	10000	2/16 ✓
2/7 ✓	1613 1/17 Weber 1 (LUC-0115) US Amendment	101795	3/17 ✓
✓	1614 1/22 Dautremont-Smith 20-22-7-2 (LUC-0230) US filing	605475	3/17 ✓
✓	US Amend.		2/10 ✓



Lucent P.O. # W8034014 (effective 10/1/00)  
Agere P.O. # MLF00006  
Tax ID No. 23-2986631

1616 1/23 Bergmann 38 (LUC-0149) US Amend.	61830	3/
1617 1/24 Caldwell 3-13 (ATT-0149) US Amend.	41875	4/2
1618 1/24 Du 2-12-0-20 (LUC-0233) US Filing	611450	2/
1619 1/24 Kothandaraman 1 (LUC-0233) China Amend.	50550	3/
1620 1/24 Kothandaraman 2 (LUC-0233) China Amend	25550	3/
1621 1/24 Kothandaraman 26-210-217-41-1 (LUC-0234) US Filing	205740	2/
1622 1/25 LaPorta 4-4 China (ATT-0159) China Amend	40490	2/2
1623 1/30 Hansen 20-1-1-19 (LUC-0235) US Filing	265200	3/
1624 2/1 Merchant 32-48 (LUC-0157) US Amend.	81795	2/2
1625 2/7 Chang 1-1-1 EPC (ATT-0126) Eur. Amend	60500	3/
1626 2/7 LaPorta 4-4 EPC (ATT-0159) Eur. Amend.	70500	3/2
1627 2/7 Esimbachi 113522 (ATT-0123) Notice of Appeal	63575	3/
1630 2/8 Madson 13 (LUC-0213) US Filing	304085	3/2
1631 2/8 Erdogan 12-42-7 (LUC-0212) US Filing	303600	3/2
1632 2/13 Esimbachi 47-28-2 (ATT-0111) Issue Fee	145630	3/
1633 2/20 Gutierrez 106379 (ATT-0201) EPC Amend	75490	3/2
1634 2/20 Esimbachi 43-26 (ATT-0112) After-final Amend.	61975	3/2
1635 2/21 Garofano 001 (Filing of C.I.P.)	77100	3/
1636 2/21 Campbell 1-1-1-1-3 (EPC) Review text	30140	2/2
1637 2/22 03338 - Response to missing parts	57005	4/7
1638 2/22 Capasso 59 (LUC-0205) Filing for drugs	21700	2/14
1639 3/1 Cox 1999-0167 (ATT-0177) IDS bill	15000	2/2
1640 3/1 Cox 1999-0167-1 (ATT-0178) IDS bill	15000	2/2
1641 3/1 Brandt 2000-0049 (ATT-0184) US Filing	602075	2/2
1642 3/1 Chaharabadi 2-2 (AG-0100) US Amend	61850	2/7
1643 3/1 Esimbachi 13611 (ATT-0123) US Amend	52180	4/7
1644 3/1 LaPorta 1-1-1-1-1 (ATT-0159) for amend.	30500	4/7
1645 3/1 Farber 1-1-1-1-1 (ATT-0193) for amend.	80575	2/7
1646 3/1 O'Leary 131-0115 IDS bill	30000	4/7
1647 3/1 Cai 1-2 (LUC-0194) IDS bill	15000	3/14
1648 3/1 LaPorta 4-4 (ATT-0159) Eur. Amend	25700	4/7

Lucent PO # W8034014 (effective 10/1/00)  
Agere PO # MLF 00066  
Tax I.D. No. 23-2986631

3/17 ✓	1049 3/13 Chen 1999-0781 (ATT-0179) US filing	079350	4/17 ✓
3/26 ✓	1050 3/13 Civinar 113551 (ATT-0141) for filing	211550	4/17 ✓
3/17 ✓	1051 3/15 Doverspike 2 (ATT-0116) Filing IDC in response to EUR. SEARCH	30000	4/17 ✓
3/17 ✓	1052 3/21 Alonzo 1-15-9-30 (LUC-0236) EUR. AUSTRALIA, CAN, JAP FOR CORRESPONDENCE	81200	5/14 ✓
3/17 ✓	1053 3/21 D 2487 (G1-0118) Not. to file Miss. Parts	40000	4/17 ✓
3/17 ✓	1054 3/21 Bindell 7-1-1-3-3 (AG-0215) Eur. Amend.	35500	5/14 ✓
3/26 ✓	1055 3/26 Shastri 3-8 (AG-0118) Korea - Abandon	10300	5/18 ✓
3/17 ✓	1056 3/27 Eslambolchi 1999-0143 (ATT-0163) US filing	601000	4/30 ✓
3/23 ✓	1057 3/27 Dautartas 62 (AG-0191) US Amendment	32050	5/14 ✓
3/12 ✓	1058 3/28 Dautartas 76-74 (AG-0228) IDS bill	40000	5/18 ✓
3/12 ✓	1059 3/28 Fernando 6-16 (AG-0300) Taiwan Amd.	20500	5/18 ✓
3/12 ✓	1060 3/28 Chen 1999-0782 (ATT-0180) US filing	680180	4/30 ✓
3/23 ✓	1061 3/29 Cosatto 2000-0542 (ATT-0186) US filing	680830	4/30 ✓
3/23 ✓	1062 4/4 DiGirolamo 2000-0037 (ATT-0174) US amd.	72425	5/7 ✓
3/17 ✓	1063 4/4 Gupta 2000-0163 (ATT-0192) IDS bill	20000	5/13 ✓
3/26 ✓	1064 4/4 Capasso 65 (LUC-0236) US filing	606525	6/7 ✓
3/26 ✓	1065 4/5 Eslambolchi 113522 (ATT-0123) Appeal Brief	113075	5/14 ✓
3/16 ✓	1066 4/5 Dautartas 61 (AG-0195) US amd.	62000	5/19 ✓
3/26 ✓	1067 4/5 Bangalore 2000-0034 (ATT-0209) IDS bill	30000	5/14 ✓
4/7 ✓	1068 4/9 Hong 22-12-19-9 (AG-0202) Singapore Response	10250	5/29 ✓
5/14 ✓	1069 4/9 Delavault 27 (AG-0213) Foreign Filing	201950	5/29 ✓
4/2 ✓	1070 4/10 Gill 2-7 (AG-0229) IDS bill	30000	5/29 ✓
4/2 ✓	1071 4/11 Ahmad 1 EPC (ATT-0110) EUR Amend.	30490	5/14 ✓
4/2 ✓	1072 4/17 Gates 15-3-6 (LUC-0231) US filing	605200	4/29 ✓
5/17 ✓	1073 4/19 Ahmad 1 Japan (ATT-0114) Jap. Amend.	60940	5/29 ✓
4/7 ✓	1074 4/18 Dautremont-Smith 20-22-4-2 (AG-0235) IDS bill	10000	5/29 ✓
4/7 ✓	1075 4/18 Du 2-12-2-20 (LUC-0231) IDS bill	40000	4/29 ✓
4/7 ✓	1076 4/20 Coulter 2001-0103 (ATT-0217) Prov. Appl.	66630	5/22 ✓
4/7 ✓	1077 4/23 Ahmad 1 Japan (ATT-0110) 2nd. Amend.	40850	5/26 ✓
5/14 ✓	1078 4/23 Hansen 20-1-1-19-19 (LUC-0235) IDS bill	40000	7/16 ✓
4/17 ✓	1079 4/24 Jagadish 1999-0672 (ATT-0146) US filing	673900	5/30 ✓

Application/Control Number: 10/662,550  
Art Unit: 2628

Docket No.: 2000-0042-CON

**EXHIBIT #2**

Message Read

Page 1 of 2

Folder: Inbox

< > Delete Forward Reply Reply All Move To: AT&T

Date: Thu, 24 Aug 00 14:02PM MDT

From: "Eric Cosatto" <eric@research.att.com>

Add To Address Book

To: <wendykoba@usa.net>

Subject: IDS No. 2000-0042

More Details

Print Preview

Hi Wendy,

Just checking for news regarding this patent application.  
Let me know where it stands. Thank you.

Eric.

Eric Cosatto <eric@research.att.com> |  
AT&T Labs - Research |  
Image Processing Software & Technology Research Dept. |  
Room 3-124, Red Bank, NJ 07701-7033, USA |  
Tel: ++1 (732) 345 3337 ; Fax: ++1 (732) 345 3032 |  
WWW: <http://www.research.att.com/info/eric> |

----- Original Message -----

From: <wendykoba@usa.net>

To: <eric@research.att.com>

Sent: Monday, July 17, 2000 7:55 AM

Subject: Re: [Re: photo realistic]

← July 17, 2000

Eric,  
The answer is "yes" -- thanks for letting me know.  
Usually, if it's a "rush" that info's included on what Tom  
sends me -- I sure he did and I just didn't realize it.  
I'll read it over this AM and see if I can get a  
"rea" patent together by the end of the week for you to  
review.  
We can always file a provisional before the publication  
date, but it's not my preferred way to work.  
Wendy  
"Eric Cosatto" <eric@research.att.com> wrote:  
Hi Wendy,  
  
I got word from Tom Restaino that the patent "Audio-Visual  
Unit Selection  
For Concatenative Synthesis Of Talking Head Animations"  
(IDS No. 2000-0042)  
was  
sent to you for filing.  
  
The publication date is August 1st. Do we need to have

Message.Read

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Folder: Inbox

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<	>	Delete	Forward	Reply	Reply All	Move To: AT&T
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Date: Wed, 08 Nov 00 14:11PM MST

From: "Eric Cosatto" <eric@research.att.com>

Add To Address Book

To: <wendykoba@usa.net>

Subject: Re: [Re: [Re: photo realistic ]]

More Details

Print Preview

Hi Wendy,

Can you update me on the progress of this patent. Thanks.

Eric Cosatto (PLEASE NOTE THE NEW ADDRESS)

Eric Cosatto <eric@research.att.com> |  
AT&T Labs - Research |  
Image Processing Software & Technology Research Dept. |  
Room A5-4F32, Middletown, NJ 07750, USA |  
Tel: ++1 (732) 420 9142 ; Fax: ++1 (732) 368 9475 |  
WWW: http://www.research.att.com/info/eric |

*Handwritten:*  
New  
2nd floor

----- Original Message -----

From: <wendykoba@usa.net>

To: <eric@research.att.com>

Sent: Monday, October 02, 2000 7:24 AM

Subject: Re: [Re: [Re: photo realistic ]]

*Handwritten:* October 2, 2000

Eric,

Hi - this email did get thru. For some unknown "net" reason, I had not been receiving about half my mail during August. I have two "emergency" cases to file for AT&T by Wed., then I will be getting back to your application. I know you presented your paper (and I think it was the same information I received for your application). If your paper was a newer/enhanced, etc. version, I'd appreciate a copy (email is fine).

Wendy

"Eric Cosatto" <eric@research.att.com> wrote:

Hi Wendy,

I haven't heard back from this. I sent you an email on 8/24 but I did not get any answer. Let me know if you receive this email. Thanks.

<http://www.netaddress.com/tpl/Message/514KEVWAM/Read?Q...:4&FolderID=-4&Sort=Dat> 11/9/00

Message.Read

Page 2 of 2

|  
| Eric Cosatto <eric@research.att.com> |  
| AT&T Labs-Research, Room A5-4F32 |  
| >-----| Middletown, NJ 07748, USA  
|-----<  
| Tel: ++1 (732) 420 9142 ; Fax: ++1 (732) 368 9475 |  
| WWW: http://www.research.att.com/info/eric |

----- Original Message -----  
From: <wendykoba@usa.net>  
To: <eric@research.att.com>  
Sent: Friday, March 02, 2001 9:32 AM  
Subject: Photo-realistic patent draft

March 2, 2001

Eric,


attached please find a draft, including claims,  
for your application.

please review and forward comments to me in the  
easiest manner for you -- email is fine, and so is  
fax (fax # 610-346-8189).

thanks

Wendy

Get free email and a permanent address at <http://www.netaddress.com/?N=1>

 cosatto 0042\_c.doc (70K)

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Page 1 of 2

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Message 6 of 32 (OLD)

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Date: Fri, 02 Mar 01 15:04PM MST

From: "Eric Cosatto" <eric@research.att.com>

Add To Address Book

To: <wendykoba@usa.net>

Cc: "Hans Peter Graf" <hpg@research.att.com>

Subject: Re: Photo-realistic patent draft

More Details

Print Preview

audio-visual  
unit selection process

Hi Wendy,

Please find attached a new version of the draft (no claims). Use "Track Changes" in Word to see the modifications.

Regarding the claims, I'd like to see the emphasis put on the "audio-visual unit-selection". This patent is about COMBINING audio features (namely the phonemes) and visual features (PCA+geometric features) in the unit-selection (viterbi search). So, claim 1 should reflect that.

Animation  
unit select process  
of visual w/ other  
info  
is audio  
for mouth  
is a viterbi  
unit select

The next major claim is the visual features. The innovation here is to COMBINE high-level features such as geometric sizes and position of elements (e.g. width, height of the lips, or pose of the head) with pixel-based, low-level features such as (but not limited to) PCA wavelets.

1b  
action

combining  
phonemes (audio)  
visual PCA+geometric  
in unit selection

Then comes the idea to NORMALIZE facial parts images in order to use these low-level features, which are otherwise very sensitive to image translation/rotation. The particular way of doing the normalization is prior art and should not be covered here.

Again, This technique is applicable not only to mouth images but to any facial part. Other facial parts may be labeled with other attributes than the acoustic information, such as the emotional expression. For example, for synthesizing animations of the eye area we can record eyes while a person expresses different emotions. This information, together with the metric describing the visual appearance is then used to produce an animated sequence. The claims should cover this as well.

visual:  
① combine  
high-level  
geometric sizes;  
positions of elements  
pixel-based, wavelet  
PCA wavelets

Call me if you need more info. I'll be waiting for a new version of the claims.  
Thanks a lot.

then  
② normalize

Eric Cosatto

Feature s.c.  
mouth w. phonemes  
eye/eye brows w. emotions/expressions

Wendy W. Koba  
*Patents, Trademarks, & Copyrights*  
P.O. Box 556  
Springtown, PA 18081

Courier Address:  
Wendy W. Koba, Esq.  
540 Summit Lane  
Riegelsville, PA 18077

Telephone: 610-346-7112  
Facsimile: 610-346-8189  
Email: wendykoba@usa.net

Wednesday, March 14, 2001

Eric Cosatto  
AT&T Corp.  
Room AS-4F32  
200 Laurel Avenue  
Middletown, New Jersey 07750

Re: *Cosatto 2000-0042 "Audio-Visual Selection Process for the Synthesis of Photo-Realistic Talking-Head Animation"*

---

Dear Eric:

Enclosed are the formal papers (the "Assignment" and "Declaration") for you to "sign-off" on. You will need to get in touch with Hans Graf to make an appointment to sign the paperwork. I have enclosed a priority mailer for you to send the signed paperwork back to me. I have mailed copies of the formal paperwork directly to Gerasimos Potamianos and also Juergen Schroeter.

If you are satisfied with the application and drawings, please contact someone in the IP-Law group to make an appointment to "sign off" on the paperwork.

Please do not sign anything before meeting with someone there, since the Assignment must be notarized (the secretaries in the patent group are notaries).

If you have any questions, please do not hesitate to give me a call or send me an e-mail message.

Sincerely,

Wendy W. Koba

Enclosed: Assignment and Agreement  
Declaration and Power of Attorney



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Page 1 of 1

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Message 3 of 68 (NEW)

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Date: Mon, 19 Mar 01 17:02PM MST

From: "Eric Cosatto" <eric@research.att.com> [Add To Address Book](#)

To: "Wendy Koba" <wendykoba@usa.net>

Cc: "Hans Peter Graf" <hpg@research.att.com>, "Juergen Schroeter" <jsh@research.att.com>, "Makis Potamianos" <gpotam@us.ibm.com>


Subject: AUDIO-VISUAL SELECTION PROCESS FOR THE SYNTHESIS OF PHOTO-REALISTIC TALKING-HEAD ANIMATIONS

[More Details](#) [Print Preview](#)

Hi All,

Here's the final draft for the patent. You should be receiving the assignments papers from Wendy Koba. Many thanks for your contributions.

Eric Cosatto.

 cosatto 0042\_final.doc (89K)

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Message 2 of 39 (OLD)

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Date: Mon, 26 Mar 01 17:16PM MST

From: "Gerasimos Potamianos" <gpotam@us.ibm.com> [Add To Address Book](#)

To: "Eric Cosatto" <eric@research.att.com>

Cc: wendykoba@usa.net, jsh@research.att.com, hpg@research.att.com

Subject: Re: AUDIO-VISUAL SELECTION PROCESS FOR THE SYNTHESIS OF PHOTO-REALISTIC TALKING-HEAD ANIMATIONS

[More Details](#) [Print Preview](#)

Hi Eric,

the patent document looks really good. I already sent out the assignment papers to the lawyer.

Best regards,  
-Makis

"Eric Cosatto" <eric@research.att.com> on 03/19/2001 07:01:00 PM

To: "Wendy Koba" <wendykoba@usa.net>

cc: "Hans Peter Graf" <hpg@research.att.com>, "Juergen Schroeter"

<jsh@research.att.com>, Gerasimos Potamianos/Watson/IBM@IBMUS

Subject: AUDIO-VISUAL SELECTION PROCESS FOR THE SYNTHESIS OF PHOTO-REALISTIC TALKING-HEAD ANIMATIONS

Hi All,

Here's the final draft for the patent. You should be receiving the assignments papers from Wendy Koba. Many thanks for your contributions.

Eric Cosatto.

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3/27/01

**WENDY W. KOB, ESQ.**  
*Patents, Trademarks & Copyrights*  
**P.O. BOX 556**  
**SPRINGTOWN, PA 18081**

Telephone: 610-346-7112  
Facsimile: 610-346-8189  
E-mail: wendykoba@usa.net

Thursday, March 29, 2001

Ann E. Taylor  
Outside Counsel Coordinator  
AT&T Corp.  
P.O. Box 4110  
Middletown, NJ 07748

Re: *Cosatto 2000-0042 "Audio-Visual Selection Process for the Synthesis of  
Photo-Realistic Talking-Head Animations"*  
My reference: *ATT-0186*

---

Dear Ann:

In accordance with your Outside Counsel Guidelines, enclosed please find a copy of the above-identified *direct-managed* application. This case was filed in the USPTO on **March 29, 2001.**

Sincerely,

Wendy W. Koba

Enclosures: Specification & Claims  
Drawings (2 sheets)  
Declaration & Associate Power of Attorney  
Assignment & Agreement  
Assignment Recordation Cover Sheet  
Request for Non-Publication  
Disk (2000.0042doc)

New Disclosure Information Form

Client / Division ATT Labs  
Managing Attorney \_\_\_\_\_  
Working Attorney \_\_\_\_\_  
(If Working Attorney field is blank, use Managing Attorney)

☐ AT&T Case ☐ AT&T Managed Case\* ☒ Direct-Managed Case\*  
\*OC case - If undecided at the time of opening disclosure, leave blank

OC Firm / OC Attorney Wendy Koba  
(when approved for filing)

(Note: Unless the disclosure is already in the hands of an outside counsel firm, do NOT enter O/C Firm into the disclosure record until the disclosure is approved for filing by IPRT and sent to OC).

IPR Team: MM  
IPRT Technologies: (Primary Technology must match Team)  
Primary 3  
Secondary 2  
Tertiary \_\_\_\_\_

Ready for IPR Team Review ☒ Yes (Insert ITR date in Actions tab) ☐ No - Date Ready  
(Insert ITR date in Actions tab)

Owner/Assignee: ☒ AT&T Corp.  
☐ AT&T Wireless Services, Inc. - AWS or STG No. \_\_\_\_\_  
(Note: Call Ruby Tarr (425-702-3948) to obtain an AWS or STG number for all AT&T Wireless Services cases - Insert AWS/ STG Number in Tech./Other #s tab)  
☐ AT&T/  
(Company or University sharing rights with AT&T)

Please provide the following information or supply it as an attachment to this form:

Title see attached  
Brief Description see attached  
Inventors see attached  
*Annex - see email for text.*

Deadline Date (if any)

Optional Information to be provided:

Keywords: (Submit BEEF if not already in database) facial animation, talking heads, sample based image synthesis, computer vision, TTS, talking heads  
Government Contract Number, if any: \_\_\_\_\_

Legal Secretary - complete:

☐ Copy of Disclosure sent to IPRT Coordinator Via ☐ Email ☐ Fax ☐ Interoffice Mail  
☐ Copy of Wireless IPRT Disclosure sent to Rohini Garg Via ☐ Email ☐ Fax ☐ Interoffice  
☐ E-Mail opening letter sent to inventor's E-level and copy to inventors

Application/Control Number: 10/662,550  
Art Unit: 2628

Docket No.: 2000-0042-CON



Ann E. Taylor  
Intellectual Property - Law

Room E4-3B12  
200 S. Laurel Avenue  
Middletown, NJ 07748 U.S.A.  
PHONE (732) 420-5622  
FAX (732) 368-6932  
Email: aetaylor@lga.att.com

April 5, 2000

Wendy W. Koba, Esq.  
P.O. Box 556  
Springtown, PA 18081

Dear Wendy:

RE: Docket No. 2000-0042  
Title: "Audio-Visual Unit Selection For The Synthesis Of  
Photo-Realistic Talking Heads"  
Submitters: E. Cosatto; H. P. Graf; G. Potamianos; J. Schroeter

The above-identified submission has been approved for filing as a direct-managed case. Please prepare and file the formal application **within the next six months** and proceed with its subsequent prosecution as you deem best suited to protect AT&T's interests in this invention. The assignee is AT&T Corp. There will be **no foreign filing** of this application.

Enclosed are copies of the disclosure material from our folder and a list of work and home addresses for each of the inventors. Please make your initial contact with the inventors in the next two weeks. **Please confirm the proper inventorship of this invention.**

Relevant art determined by an electronic prior art search (less than one hour) should be identified for filing with the application.

Should questions arise requiring AT&T attorney input, please call the AT&T contact attorney, Thomas Restaino, at 908-221-5720. For instance, please contact Tom with your recommendation if a Final Rejection is received, has been discussed with the inventors, and an Examiner Interview is unsuccessful in resolving any remaining problems.

Please acknowledge receipt by signing and faxing this sheet to me at 732-368-6932.

Received and acknowledged: Wendy W. Koba Date: 7.10.00  
Reference No.: 422-018

Expected Filing Date 7.10.00

**Wendy W. Koba**  
**Patents, Trademarks, & Copyrights**  
P.O. Box 556  
Springtown, PA 18081

**Courier Address:**  
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540 Summit Lane  
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Telephone: 610-346-7112  
Facsimile: 610-346-8189  
Email: wendykoba@usa.net

Tuesday, April 11, 2000

Eric Cosatto  
AT&T Corp.  
Room 3-124  
100 Schultz Drive  
Red Bank, New Jersey 07701

**Re: IDS No. 2000-0042**

**Title: "Audio-Visual Unit Selection For The Synthesis Of Photo-Realistic Talking Heads"**

---

Dear Eric:

The above-referenced patent submission has been sent to me to prepare. I will be contacting you soon if I need additional information to formulate a first draft.

If you have any additional information on this submission beyond what you have sent to the IP-Law group, please let me know.

Feel free to contact me at the above number or e-mail me if you have any questions.

Sincerely,

Wendy W. Koba